

Fill in this information to identify the case:

United States Bankruptcy Court for the:

USA

District of USA

(State)

Case number (if known): Chapter 15

FILED/REC'D

8:00 AM

OCT - 3 2024

CLERK

U.S. BANKRUPTCY COURT

☐ Check if this is an amended filing

Official Form 401

Chapter 15 Petition for Recognition of a Foreign Proceeding

12/15

If more space is needed, attach a separate sheet to this form. On the top of any additional pages, write debtor's name and case number (if known).

1. Debtor's name

NASDAQ , INC. , EIN# 52-1165937

2. Debtor's unique identifier

For non-individual debtors:

- ☒ Federal Employer Identification Number (EIN) 5 2 - 1 1 6 5 9 3 7
- ☐ Other Describe identifier

For individual debtors:

- ☒ Social Security number: xxx - xx- 9 9 0 9
- ☐ Individual Taxpayer Identification number (ITIN): 9 xx - xx -
- ☐ Other Describe identifier

3. Name of foreign representative(s)

ROBERT W JOHNSON , SS# 076-78-9909

4. Foreign proceeding in which appointment of the foreign representative(s) occurred

BANKRUPTCY AND WHISTLEBLOWER .

5. Nature of the foreign proceeding

Check one:

- ☐ Foreign main proceeding
- ☐ Foreign nonmain proceeding
- ☒ Foreign main proceeding, or in the alternative foreign nonmain proceeding

6. Evidence of the foreign proceeding

- ☐ A certified copy, translated into English, of the decision commencing the foreign proceeding and appointing the foreign representative is attached.
- ☐ A certificate, translated into English, from the foreign court, affirming the existence of the foreign proceeding and of the appointment of the foreign representative, is attached.
- ☒ Other evidence of the existence of the foreign proceeding and of the appointment of the foreign representative is described below, and relevant documentation, translated into English, is attached. (see attached documents)

7. Is this the only foreign proceeding with respect to the debtor known to the foreign representative(s)?

- ☒ No. (Attach a statement identifying each country in which a foreign proceeding by, regarding, or against the debtor is pending.)
- ☐ Yes

Debtor NASDAQ , INC. , EIN# 52-1165937  
Name

Case number (if known) \_\_\_\_\_

**8. Others entitled to notice**

Attach a list containing the names and addresses of:

- (i) all persons or bodies authorized to administer foreign proceedings of the debtor,
- (ii) all parties to litigation pending in the United States in which the debtor is a party at the time of filing of this petition, and
- (iii) all entities against whom provisional relief is being sought under § 1519 of the Bankruptcy Code.

**9. Addresses**

**Country where the debtor has the center of its main interests:**

USA

**Debtor's registered office:**

ONE LIBERTY PLAZA

Number Street

P.O. Box

NEW YORK , NY 10006

City State/Province/Region ZIP/Postal Code

USA

Country

**Individual debtor's habitual residence:**

65 SIDNEY ST

Number Street

P.O. Box

BUFFALO , NY 14211

City State/Province/Region ZIP/Postal Code

USA

Country

**Address of foreign representative(s):**

65 SIDNEY ST

Number Street

P.O. Box

BUFFALO , NY 14211

City State/Province/Region ZIP/Postal Code

USA

Country

**10. Debtor's website (URL)**

ir.nasdaq.com

**11. Type of debtor**

Check one:

☐ Non-individual (check one):

☐ Corporation. Attach a corporate ownership statement containing the information described in Fed. R. Bankr. P. 7007.1.

☐ Partnership

☒ Other. Specify: FOREIGN STOCK EXCHANGE

☐ Individual

Debtor NASDAQ , INC. , EIN# 52-1165937  
Name

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12. Why is venue proper in this district?

Check one:

- ☒ Debtor's principal place of business or principal assets in the United States are in this district.
- ☐ Debtor does not have a place of business or assets in the United States, but the following action or proceeding in a federal or state court is pending against the debtor in this district:
- \_\_\_\_\_
- ☐ If neither box is checked, venue is consistent with the interests of justice and the convenience of the parties, having regard to the relief sought by the foreign representative, because:
- \_\_\_\_\_

13. Signature of foreign representative(s)

I request relief in accordance with chapter 15 of title 11, United States Code.

I am the foreign representative of a debtor in a foreign proceeding, the debtor is eligible for the relief sought in this petition, and I am authorized to file this petition.

I have examined the information in this petition and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct,

☒ DocuSigned by:  
Robert W Johnson ESQ Robert W Johnson ESQ  
Signature of Foreign Representative Printed name

Executed on \_\_\_\_\_  
MM / DD / YYYY

☒ DocuSigned by:  
Robert W Johnson ESQ Robert W Johnson ESQ  
Signature of foreign representative Printed name

Executed on \_\_\_\_\_  
MM / DD / YYYY

14. Signature of attorney

☒ DocuSigned by:  
Robert W Johnson ESQ Date \_\_\_\_\_  
Signature of Attorney for foreign representative MM / DD / YYYY

Robert W Johnson ESQ

Printed name

Robert W Johnson ESQ

Firm name

65 SIDNEY ST

Number Street

BUFFALO

City

NY 14211

State ZIP Code

716-445-1734

Contact phone

atem11c2023@gmail.com

Email address

9999999-9

Bar number

USA

State